



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

10/800,591

03/15/2004

Harold Weiss

Vanquish 2

1654

7590
Gregory P. Gadson, Esq.
19375 Amber Way
Noblesville, IN 46060

01/24/2008

EXAMINER

WILLIAMS, CLAYTON R

ART UNIT

PAPER NUMBER

4152

MAIL DATE

DELIVERY MODE

01/24/2008

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 10/800,591	Applicant(s) WEISS, HAROLD	
	Examiner CLAYTON WILLIAMS	Art Unit 4152	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 15 March 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 15 March 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-20 are pending in this application.

Claim Rejections - 35 USC § 103

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-7, 10-16 and 18-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Raymond, US 6,697,462 , in view of Sundsted, US 5,999,967.

For claim 1, Raymond discloses:

A method of regulating electronic communications (Abstract), said method comprising the steps of:

a) via a sender, purchasing a satisfaction bond to be coupled with a communication (col. 5, lines 52-55, at step 212 Party A post bond), said bond being adapted to be forfeited if a recipient of the communication to which the bond is coupled rejects the communication (col. 5, line 67 – col. 6, lines 1-2,

Art Unit: 4152

disclosure that if party B rejects email, then bond is forfeited);

d) establishing said bond (col. 5, lines 52-53) comprising:

e) via said sender, pledging or transferring a res in exchange for said bond (col. 5, lines 53-55, disclosure of credit card being used to purchase bond); and

k) sending a message intended for a recipient accompanied by said bond (col. 5, lines 56-57, steps 214 and 216);

m) subjecting said message to a filter when said bond is not determined to be legitimate or said message is not accompanied by a bond, said filter being adapted to accept or reject messages based upon predetermined criteria (col. 5, lines 48-52, disclosure that a message without a bond under circumstances where sending party has exceeded a quota); and

Raymond does not disclose the limitations:

“f) generating a block of secure data, said secure data comprising:

g) a secure certificate containing at least sender identity indicia;

h) a digital signature;

i) a hashing code; and

j) a hash of the message for which said bond is to accompany; and

l) prior to receipt of said message by the intended recipient, verifying the legitimacy of said bond via a third party

n) not subjecting said message to a filter when said bond is determined to be legitimate.”

However, Sundsted discloses:

“f) generating a block of secure data (col. 6, lines 54-57), said secure data comprising:

g) a secure certificate containing at least sender identity indicia (col. 7, lines 20-22, disclosure that sender and receiver addresses serve to bind electronic stamp to piece of email to prevent forging of identity);

h) a digital signature (col. 7, lines 28-29);

i) a hashing code (col. 7, lines 13-14); and

j) a hash of the message for which said bond is to accompany (col. 7, lines 12-13, Hash field 43); and

l) prior to receipt of said message by the intended recipient, verifying the legitimacy of said bond via a third party (col. 5, lines 53-55, disclosure that electronic stamp system features can be fully implemented in a third-party server between sender and receiver; col. 6, lines 24-25, disclosure that analysis module 23 validates the electronic stamp)

n) not subjecting said message to a filter when said bond is determined to be legitimate (col. 7, lines 62-67, disclosure that analysis module 23 will reject message if electronic stamp determined to be invalid).”

Raymond and Sundsted are analogous art because both are from the field of email filtering and verification.

It would have been obvious to one skilled in the art at the time of the invention to modify the teachings of Raymond with the teachings of Sundsted, an email system that implements digital certificate signing and verification, because this modification allows for improved filtering of unwanted emails by way of message authenticity checks.

For claim 2, Raymond discloses:

A system of regulating electronic communications (Abstract), said system comprising:

at least one message sender (col. 5, line 2, Party A);

at least one message recipient (col. 5, line 3, Party B);

a third party (col. 6, lines 64-65, disclosure of third-party clearing house);

a mechanism for allowing a sender to purchase a satisfaction bond to be coupled with a communication (col. 5, lines 52-55), said bond being adapted to be forfeited if a recipient of the communication to which the bond is coupled rejects the communication (col. 5, line 67 – col. 6, lines 1-2);

a bond generator adapted to establish said bond (col. 5, lines 52-53), said bond generator comprising:

a res exchanger adapted to allow said sender to pledge or transfer
a res in exchange for said bond (col. 5, lines 53-55);

a message transmitter adapted to send a message intended for a recipient accompanied by said bond (col. 5, lines 56-57);

a message filter adapted to filter said message when said bond is not determined

Art Unit: 4152

to be legitimate or said message is not accompanied by a bond, said filter being adapted to accept or reject messages based upon predetermined criteria (col. 5, lines 48-52, message not sent without a bond where party exceeds quota).

Raymond does not disclose the limitations:

“a secure block generator adapted to generate a block of secure data, said secure data comprising:

a secure certificate containing at least sender identity indicia;

a digital signature;

a hashing code; and

a hash of the message for which said bond is to accompany;

a bond legitimacy verifier adapted to, prior to receipt of said message by the intended recipient, verifying the legitimacy of said bond via said third party;

and said message filter is adapted to forego filtering said message when said bond is determined to be legitimate.”

However, Sundsted discloses:

“a secure block generator adapted to generate a block of secure data (col. 6, lines 54-57), said secure data comprising:

a secure certificate containing at least sender identity indicia (col. 7, lines 20-22);

a digital signature (col. 7, lines 28-29);

a hashing code (col. 7, lines 13-14); and

a hash of the message for which said bond is to accompany (col. 7, lines 12-13);

a bond legitimacy verifier adapted to, prior to receipt of said message by the intended recipient, verifying the legitimacy of said bond via said third party (col. 5, lines 53-55; col. 6, lines 24-25); and said message filter is adapted to forego filtering said message when said bond is determined to be legitimate (col. 7, lines 62-67).”

Raymond and Sundsted are analogous art because both are from the field of email filtering and verification.

It would have been obvious to one skilled in the art at the time of the invention to modify the teachings of Raymond with the teachings of Sundsted, an email system that implements digital certificate signing and verification, because this modification allows for improved filtering of unwanted emails by way of message authenticity checks.

For claim 3, the combination of Raymond and Sundsted discloses:

The method of Claim 1, further comprising:

associating a unique number with each said bond which identifies the sender (Sundsted, col. 7, lines 1-3, disclosure of serial number field 40).

For claim 4, the combination of Raymond and Sundsted discloses:

The method of Claim 1, wherein elements e) through j) are carried out by a different entity from the sender (Sundsted, col. 5, lines 53-55).

For claim 5, the combination of Raymond and Sundsted discloses:

The method of Claim 1, wherein element I) is carried out by determining whether the message is accompanied by a legitimate certificate (Sundsted, col. 6, lines 24-25).

For claim 6, the combination of Raymond and Sundsted discloses:

The method of Claim 1, wherein element I) is carried out by determining whether the block of secure data has been altered (Sundsted, col. 6, lines 24-25).

For claim 7, the combination of Raymond and Sundsted discloses:

The method of Claim 1, further comprising:

upon receipt of a bonded message by said recipient, informing said recipient that the message is accompanied by a satisfaction bond (Raymond, col. 5, lines 56-58, disclosure of system being comprised of "subscribers", subscribers who by virtue of previous positive relationship don't require bond and those subscribers that must post bond); and providing a recourse for the recipient if the recipient is unsatisfied with said message (Raymond, col. 5, line 67-col. 6, line 2, disclosure of recipient expressing displeasure by having sender's bond res sent to a designated entity; col. 6, lines 64-col. 7, line 5, disclosure that recipient can voice complaint on clearing-house).

For claim 10, the combination of Raymond and Sundsted discloses:

Art Unit: 4152

The method of Claim 1, further comprising:

when said recipient deems said message unsatisfactory, informing said third party that said message is unsatisfactory (Raymond, col. 6, line 67-col. 7, line 3, disclosure of recipients making report to clearing house).

For claim 11, the combination of Raymond and Sundsted discloses:

The method of Claim 1, further comprising:

when said recipient deems said message unsatisfactory, informing said third party that said message is unsatisfactory (Raymond, col. 6, line 67-col. 7, line 3, disclosure of recipients making report to clearing house); and
said third party keeping a tally of unsatisfactory messages sent by identified senders (Raymond, col. 5, line 29-33, tally of rejected messages sent by sender is updated).

For claim 12, the combination of Raymond and Sundsted discloses:

The method of Claim 1, further comprising:

when said recipient deems said message unsatisfactory, informing said third party that said message is unsatisfactory (Raymond, col. 6, line 67-col. 7, line 3, disclosure of recipients making report to clearing house);
said third party keeping a tally of unsatisfactory messages sent by identified senders (Raymond, col. 5, line 29-33, tally of rejected messages sent by sender is updated); and

Art Unit: 4152

said third party taking action against a sender when the number of unsatisfactory messages reaches a predetermined threshold (Raymond, col. 5, lines 4-9, disclosure that system will not forward emails for presentation to recipient where sender has history of sending emails that were later rejected).

For claim 13, the combination of Raymond and Sundsted discloses:

The method of Claim 1, further comprising:

said third party rejecting messages that contain a bond previously inserted into another message (Sundsted, col. 8, lines 1-8, disclosure that analysis module 23 checks whether electronic stamp is attached to original piece of email).

For claim 14, the combination of Raymond and Sundsted discloses:

The method of Claim 1, further comprising:

said third party rejecting messages that contain a bond that has been altered since being generated (Sundsted, col. 6, lines 24-25).

For claim 15, the combination of Raymond and Sundsted discloses:

The system of Claim 2, wherein said bond generator is further adapted to associate a unique number with each said bond which identifies the sender (Sundsted, col. 7, lines 1-3, disclosure of serial number field 40).

For claim 16, the combination of Raymond and Sundsted discloses:

The system of Claim 2, wherein said bond legitimacy verifier is further adapted to determine whether the block of secure data has been altered (Sundsted, col. 6, lines 24-25).

For claim 18, the combination of Raymond and Sundsted discloses:

The system of Claim 2, further comprising:

said recipient being further adapted to inform said third party of messages received that said recipient deems unsatisfactory (Raymond, col. 6, line 67-col. 7, line 3, disclosure of recipients making report to clearing house);

said third party being further adapted to keep a tally of unsatisfactory messages sent by identified senders (Raymond, col. 5, line 29-33, tally of rejected messages sent by sender is updated); and

said third party being further adapted to take action against a sender when the number of unsatisfactory messages reaches a predetermined threshold (Raymond, col. 5, lines 4-9, disclosure that system will not forward emails for presentation to recipient where sender has history of sending emails that were later rejected).

For claim 19, the combination of Raymond and Sundsted discloses:

The system of Claim 2, further comprising:

said third party being further adapted to reject messages that contain a bond previously inserted into another message (Sundsted, col. 8, lines 1-8, disclosure

Art Unit: 4152

that analysis module 23 checks whether electronic stamp is attached to original piece of email).

For claim 20, the combination of Raymond and Sundsted discloses:

The system of Claim 2, further comprising:

said third party being further adapted to reject messages that contain a bond that has been altered since being generated (Sundsted, col. 6, lines 24-25).

4. Claims 8,9 and 17 are rejected under 35 U.S.C. 103(a) as being unpatentable over Raymond in view of Sundsted, as applied to claims 1 and 2, and further in view of Irlam et al., US 6,650,890 (hereinafter Irlam).

For claim 8, the combination of Raymond and Sundsted discloses:

The method of Claim 1, further comprising:

upon receipt of a bonded message by said recipient, informing said recipient that the message is accompanied by a satisfaction bond (Sundsted, col. 5, lines 43-45); and providing a recourse for the recipient if the recipient is unsatisfied with said message (Raymond, col. 5, line 67-col. 6, line 2; col. 6, lines 64-col. 7, line 3)

The combination of Raymond and Sundsted does not disclose the limitation "by referring the recipient to a hyperlinked Internet web site. Raymond and Sundsted are

Art Unit: 4152

analogous art and the rationale for the combination can be found in the rejection for claim 1.

However, Irlam discloses a pre-processing service for email that flags messages and notifies user via email that the message may be accessed on the message center web site (col. 5, lines 8-9 and 14-18). Raymond, Sundsted and Irlam are analogous art because all are from the field of third-party system email filtering.

It would have been obvious to one skilled in the art at the time of the invention to modify the teachings of Raymond and Sundsted with the teachings of Irlam, an email system that implements preprocessing of messages via a third-party server and contains a web site for configuration of email delivery/management options, because this modification offloads responsibility of management of email filtering from user/entity to a third-party (Irlam, col. 2, lines 19-24), as well as allowing for easy means for user to lodge complaint against emailing offender.

For claim 9, the combination of Raymond, Sundsted discloses:

The method of Claim 1, further comprising:

o) upon receipt of a bonded message by said recipient, informing said recipient that the message is accompanied by a satisfaction bond (Raymond, col. 5, lines 56-58);
q) upon the recipient connecting to said web site, informing the seller of the bond that said message is unsatisfactory (Raymond, col. 5, line 67-col. 6, line 2, once recipient rejects acceptance of email, the bond is forfeited and res paid out to a designated party); and

Art Unit: 4152

r) in response to element q), said seller penalizing said sender (Raymond, col. 6, lines 1-3, bond is forfeited by sender; Raymond, col. 5, line 29-33, as well tally of rejected messages sent by sender is updated).

The combination of Raymond and Sundsted does not disclose the limitation:

p) providing a recourse for the recipient if the recipient is unsatisfied with said message, by referring the recipient to a hyperlinked Internet web site.

However, Irlam discloses providing a recourse for the recipient if the recipient is unsatisfied with said message, by referring the recipient to a hyperlinked Internet web site (Irlam, col. 5, lines 8-9 and 14-18). Raymond, Sundsted and Irlam are analogous art because all are from the field of third-party system email filtering.

It would have been obvious to one skilled in the art at the time of the invention to modify the teachings of Raymond and Sundsted with the teachings of Irlam, an email system that implements preprocessing of messages via a third-party server and contains a web site for configuration of email delivery/management options, because this modification offloads responsibility of management of email filtering from user/entity to a third-party (Irlam, col. 2, lines 19-24), as well as allowing for easy means for user to lodge complaint against emailing offender.

For claim 17, the combination of Raymond and Sundsted discloses:

The system of Claim 2, further comprising:

said message transmitter is further adapted to, upon receipt of a bonded message by said recipient, inform said recipient that the message is accompanied by a satisfaction bond (Raymond, col. 5, lines 56-58), and provide a recourse for the recipient if the recipient is unsatisfied with said message (Raymond, col. 5, line 67-col. 6, line 2),

said web site being adapted to, upon the recipient connecting to it, inform the seller of the bond that said message is unsatisfactory (Raymond, col. 5, line 67-col. 6, line 2; and

said seller being further adapted to penalize said sender in response (Raymond, col. 6, lines 1-3; Raymond, col. 5, line 29-33).

The combination of Raymond and Sundsted does not disclose the limitation "by referring the recipient to a hyperlinked Internet web site. Raymond and Sundsted are analogous art and the rationale for the combination can be found in the rejection for claim 2.

However, Irlam discloses a pre-processing service for email that flags messages and notifies user via email that the message may be accessed on the message center web site (col. 5, lines 8-9 and 14-18). Raymond, Sundsted and Irlam are analogous art because all are from the field of third-party system email filtering.

It would have been obvious to one skilled in the art at the time of the invention to modify the teachings of Raymond and Sundsted with the teachings of Irlam, an email system that implements preprocessing of messages via a third-party server and

contains a web site for configuration of email delivery/management options, because this modification offloads responsibility of management of email filtering from user/entity to a third-party (Irlam, col. 2, .lines 19-24), as well as allowing for easy means for user to lodge complaint against emailing offender.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to CLAYTON WILLIAMS whose telephone number is (571)270-3801. The examiner can normally be reached on M-F (8 a.m. - 5 p.m.).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nabil El-Hady can be reached on 571-272-3963. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Application/Control Number: 10/800,591
Art Unit: 4152

Page 17

CRW
01/18/08

/Nabil El-Hady, Ph.D, M.B.A./
Supervisory Patent Examiner, Art Unit 4152